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## OMB APPROVAL

OMB Number: 3235-0123  
Expires: March 31, 2016  
Estimated average burden  
hours per response..... 12.00ANNUAL AUDITED REPORT  
FORM X-17A-5  
PART III

SEC FILE NUMBER

8-66008

FACING PAGE

Information Required of Brokers and Dealers Pursuant to Section 17 of the  
Securities Exchange Act of 1934 and Rule 17a-5 ThereunderREPORT FOR THE PERIOD BEGINNING 01/01/14 AND ENDING 12/31/14  
MM/DD/YY MM/DD/YY

## A. REGISTRANT IDENTIFICATION

NAME OF BROKER-DEALER: CCG Securities, LLC

OFFICIAL USE ONLY

ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)

FIRM I.D. NO.

120 East De La Guerra Street

(No. and Street)

Santa Barbara

CA

93101

(City)

(State)

(Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT

Robert Hughes

805 963-8771 3932

(Area Code - Telephone Number)

## B. ACCOUNTANT IDENTIFICATION

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report\*

Elizabeth Tractenberg, CPA

(Name - if individual, state last, first, middle name)

3832 Shannon Road

Los Angeles

CA

90027

(Address)

(City)

(State)

(Zip Code)

## CHECK ONE:

- ☒ Certified Public Accountant  
☐ Public Accountant  
☐ Accountant not resident in United States or any of its possessions.

## FOR OFFICIAL USE ONLY

\*Claims for exemption from the requirement that the annual report be covered by the opinion of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis for the exemption. See Section 240.17a-5(e)(2)

SEC 1410 (06-02)

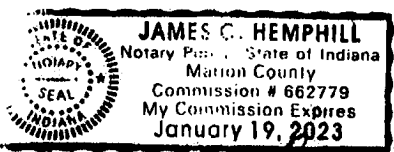
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## OATH OR AFFIRMATION

I, Robert Hughes, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of CCG Securities, LLC, as of December 31, 2014, are true and correct. I further swear (or affirm) that neither the company nor any partner, proprietor, principal officer or director has any proprietary interest in any account classified solely as that of a customer, except as follows:

None



[Signature]  
Notary Public

[Signature]  
Signature  
President  
Title

This report \*\* contains (check all applicable boxes):

- ☒ (a) Facing Page.
- ☒ (b) Statement of Financial Condition.
- ☒ (c) Statement of Income (Loss).
- ☒ (d) Statement of Changes in Financial Condition.
- ☒ (e) Statement of Changes in Stockholders' Equity or Partners' or Sole Proprietors' Capital.
- ☐ (f) Statement of Changes in Liabilities Subordinated to Claims of Creditors.
- ☒ (g) Computation of Net Capital.
- ☒ (h) Computation for Determination of Reserve Requirements Pursuant to Rule 15c3-3.
- ☒ (i) Information Relating to the Possession or Control Requirements Under Rule 15c3-3.
- ☐ (j) A Reconciliation, including appropriate explanation of the Computation of Net Capital Under Rule 15c3-1 and the Computation for Determination of the Reserve Requirements Under Exhibit A of Rule 15c3-3.
- ☐ (k) A Reconciliation between the audited and unaudited Statements of Financial Condition with respect to methods of consolidation.
- ☒ (l) An Oath or Affirmation.
- ☐ (m) A copy of the SIPC Supplemental Report.
- ☐ (n) A report describing any material inadequacies found to exist or found to have existed since the date of the previous audit.

\*\*For conditions of confidential treatment of certain portions of this filing, see section 240.17a-5(e)(3).

**CCG Securities, LLC**

**Financial Statements and Supplemental Schedules  
Required by the U.S. Securities and Exchange Commission**

**Including Independent Auditor's Report Thereon**

**For the Year-Ended December 31, 2014**

# CONTENTS

## **Part I**

- Audit Opinion
- Financial Statements
  - Statement of Financial Condition
  - Statement of Income (Loss)
  - Statement of Changes in Member's Equity
  - Statement of Changes in Financial Condition
- Notes to Financial Statements

## **Schedules**

- Schedule I - Computation of Net Capital under Rule 15c3-3
- Schedule II - Computation for Determination of Reserve Requirements
- Schedule III - Information Relating to Possession or Control Requirements

## **Part II**

- Exemption Report Review
- Exemption Report

**Elizabeth Tractenberg, CPA**

3832 SHANNON ROAD  
LOS ANGELES, CALIFORNIA 90027  
323/669-0545 – Fax 323/517-2625  
[elizabeth@tractenberg.net](mailto:elizabeth@tractenberg.net)  
PCAOB # 3621

**Report of Independent Registered Public Accounting Firm**

To the Member  
CCG Securities, LLC  
Santa Barbara, CA 93101

I have audited the accompanying statement of financial condition of CCG Securities, LLC (the “Company”), a California limited liability company, as of December 31, 2014 and the related statements of income (loss), changes in member’s equity, and changes in financial condition for the year then ended that are filed pursuant to Rule 17a-5 under the Securities Exchange Act of 1934, and the related notes to the financial statements and supplemental information. The Company’s management is responsible for these financial statements. My responsibility is to express an opinion on these financial statements based on my audit.

I conducted my audit in accordance with the standards of the Public Company Accounting Oversight Board (United States). Those standards require that I plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. I believe that my audit provides a reasonable basis for my opinion.

In my opinion, the financial statements referred to above present fairly, in all material respects, the financial condition of the Company as of December 31, 2014, and the results of its operations and its cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

The information contained in Schedules I, II and III (the “supplemental information”) has been subjected to audit procedures performed in conjunction with the audit of the Company’s financial statements. The supplemental information is the responsibility of the Company’s management. My audit procedures included determining whether the supplemental information reconciles to the financial statements or the underlying accounting and other records, as applicable, and performing procedures to test the completeness and accuracy of the information presented in the supplemental information. In forming my opinion on the supplemental information, I evaluated whether the supplemental information, including its form and content, is presented in conformity with 17 C.F.R. § 240.17a-5. In my opinion, the supplemental information is fairly stated, in all material respects, in relation to the financial statements as a whole.



Elizabeth Tractenberg, CPA  
Los Angeles, CA  
January 10, 2015

**CCG Securities, LLC**  
**Statement of Financial Condition**  
**December 31, 2014**

**Assets**

Cash	\$ 9,181
Other Current Assets	<u>1,215</u>
<b>Total Assets</b>	<b><u>\$ 10,396</u></b>

**Liabilities and Member's Equity**

**Liabilities**

Expense sharing account	\$ 400
Accounts Payable	<u>1,350</u>

<b>Total Liabilities</b>	<b><u>1,750</u></b>
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**Member's Equity**

Equity	<u>8,646</u>
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<b>Total Member's Equity</b>	<b><u>8,646</u></b>
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<b>Total Liabilities and Member's Equity</b>	<b><u>\$ 10,396</u></b>
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**CCG Securities, LLC**  
**Statement of Loss**  
**For the Year Ended December 31, 2014**

Revenues

Income	\$ <u>0</u>
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Total Revenues	<u>0</u>
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Operating Expenses

Fidelity bond	656
Communications	1,200
Professional fees	12,210
Regulatory fees	669
Miscellaneous	<u>161</u>

Total Operating Expenses	<u>14,896</u>
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Loss Before Tax	(14,896)
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Provision for State Taxes	<u>800</u>
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Net (Loss)	<u>\$ (15,696)</u>
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**CCG Securities, LLC**  
**Statement of Changes in Member's Equity**  
**For the Year Ended December 31, 2014**

	Member's <u>Equity</u>
Balance, December 31, 2013	\$ 7,442
Capital contributions	16,900
Net (loss)	<u>( 15,696)</u>
Balance, December 31, 2014	<u>\$ 8,646</u>



**CCG Securities, LLC**  
**Statement of Changes in Financial Condition**  
**For the Year Ended December 31, 2014**

Cash Flows from Operating Activities:	
Net (loss)	\$ (15,696)
Changes in Operating Assets and Liabilities:	
Web CRD	2
Expense sharing	(700)
Accounts Receivable	4,500
Accounts Payable	<u>900</u>
Net cash used by operating activities	<u>(10,994)</u>
Cash Flows for Investing Activities:	<u>0</u>
Cash Flows for Financing Activities:	
Capital Contribution	<u>16,900</u>
Net increase in cash	5,906
Cash at beginning of year	<u>3,275</u>
Cash at end of year	<u>\$ 9,181</u>

Supplemental Information

Income taxes paid	<u>\$ 800</u>
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**CCG Securities, LLC**  
**Schedule I – Computation of Net Capital**  
**Requirements Pursuant to Rule 15c3-1**  
**December 31, 2014**

Computation of Net Capital

Total ownership equity from statement of financial condition	\$ 8,646
Deduction for Other Current Assets: Non-Allowable	<u>(1,215)</u>

Net Capital	<u>\$ 7,431</u>
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Computation of Net Capital Requirements

Minimum net aggregate indebtedness - 6-2/3% of net aggregate indebtedness	<u>\$ 117</u>
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Minimum dollar net capital required	<u>\$ 5,000</u>
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Net Capital required (greater of above amounts)	<u>\$ 5,000</u>
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Excess Capital	<u>\$ 2,431</u>
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Excess net capital at 1000% (net capital less 10% of aggregate indebtedness)	<u>\$ 7,256</u>
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Computation of aggregate Indebtedness

Total liabilities	<u>\$ 1,750</u>
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Percentage of aggregate indebtedness to net capital	24%
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The following is a reconciliation of the above net capital computation with the Company's corresponding unaudited computation pursuant to Rule 179-5(d)(4):

Net Capital per Company's Computation	<u>\$ 7,431</u>
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Net Capital per Audited Report	<u>\$ 7,431</u>
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**CCG Securities, LLC**  
**Notes to Financial Statements**  
**December 31, 2014**

**Note 1 – Organization and Nature of Business**

CCG Securities, LLC (the “Company”) was incorporated in the State of California on February 19, 2003. The Company is a registered broker-dealer with the Securities Exchange Commission (SEC), the Financial Industry Regulatory Authority (“FINRA”) and the Securities Investor Protection Corporation (“SIPC”).

The Company is a wholly owned subsidiary of The Commerce & Capital Group, LLC and operates in Santa Barbara, California.

The Company generated no revenue during the current year. The Company’s ability to generate sufficient cash flows to meet its obligations, either through future revenues and/or additional debt or equity financing, cannot be determined at this time. The Company received capital contributions from the owner to maintain ongoing operations and will continue to do so in the future. Therefore management believes that there is no going concern issue.

**Note 2 – Significant Accounting Policies**

**Basis of Presentation** – The Company conducts the following types of business as a securities broker-dealer, which comprises the private placement of securities.

Rule 15c3-3(k)(2)(i) provides an exemption from the SEC's so-called "customer protection rule" for firms that: carry no margin accounts; promptly transmit all customer funds and deliver all securities received in connection with their broker-dealer activities; do not otherwise hold funds or securities for, or owe money or securities to, customers; and effectuate all financial transactions with customers through one or more bank accounts designated as "Special Account for the Exclusive Benefit of Customers" of CCG Securities, LLC.

**Use of Estimates** - The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

**Income Taxes** - The Company, with consent of its Member, has elected to be a California Limited Liability Company. For tax purposes the Company is treated like a partnership, therefore in lieu of business income taxes, the Member is taxed on the Company’s taxable income. Therefore, no provision or liability for Federal Income Taxes is included in these financial statements. The State of California has a similar treatment, although there exists a provision for a gross receipts tax and a minimum Franchise Tax of \$800.

**CCG Securities, LLC**  
**Notes to Financial Statements**  
**December 31, 2014**

**Note 2 – Significant Accounting Policies (continued)**

**Income Taxes -**

The accounting principles generally accepted in the United States of America provides accounting and disclosure guidance about positions taken by an organization in its tax returns that might be uncertain. Management has considered its tax positions and believes that all of the positions taken by the Company in its Federal and State organization tax returns are more likely than not to be sustained upon examination. The Company is subject to examinations by U.S. Federal and State tax authorities from 2011 to the present, generally for three years after they are filed.

**Note 3 - Fair Value**

Unless otherwise indicated, the fair values of all reported assets and liabilities that represent financial instruments (none of which are held for trading purposes) approximate the carrying values of such amounts.

**Note 4 – Related Party**

The Company shares its office space with its parent company and has an expense sharing agreement. The company allocates a monthly amount of \$100 to cover telephone and internet usage which is paid by the parent and is treated as due to parent. At December 31, 2014 there was \$800 due to parent and \$1,900 was converted to capital contribution during the year. It is possible that the terms of the related parties transactions are not the same as those that would result from transactions among wholly unrelated parties.

**Note 5 – Net Capital Requirements**

The Company is subject to the SEC Uniform Net Capital Rule (SEC Rule 15c3-1), which requires the maintenance of minimum net capital and requires that the ratio of aggregate indebtedness to net capital, both as defined, shall not exceed 15 to 1. Rule 15c3-1 also provides that equity capital may not be withdrawn or cash dividends paid if the resulting net capital ratio would exceed 10 to 1. At December 31, 2014, the Company had net capital of \$7,431 which was \$2,431 above its required net capital of \$5,000. The Company's net capital ratio was .24 to 1.

**Note 6 – Exemption from the SEC Rule 15c3-3**

Rule 15c3-3(k)(2)(i) provides an exemption from the SEC's so-called "customer protection rule" for firms that: carry no margin accounts; promptly transmit all customer funds and deliver all

**CCG Securities, LLC**  
**Notes to Financial Statements**  
**December 31, 2014**

**Note 6 – Exemption from the SEC Rule 15c3-3 – (continued)**

securities received in connection with their broker-dealer activities; do not otherwise hold funds or securities for, or owe money or securities to, customers; and effectuate all financial transactions with customers through one or more bank accounts designated as "Special Account for the Exclusive Benefit of Customers" of the Company.

**Note 7 – SIPC Supplementary Report Requirement**

The Company is not required to complete the SIPC Supplementary Report under SEC Rule 17a-5(e) (4) for year ending December 31, 2014 because the Company's SIPC Net Operating Revenues are under \$500,000.

**Note 8 – Subsequent Events**

Management has reviewed the results of operations for the period of time from its year end December 31, 2014 through January 10, 2015, the date the financial statements were available to be issued, and has determined that no adjustments are necessary to the amounts reported in the accompanying financial statements nor have any subsequent events occurred, the nature of which would require disclosure.

**CCG Securities, LLC**  
**Schedule II – Computation for Determination of Reserve**  
**Requirements Pursuant to Rule 15c3-3**  
**As of December 31, 2014**

A computation of reserve requirement is not applicable to CCG Securities, LLC as the Company qualifies for exemption under Rule 15c3-3 (k)(2)(i).

**CCG Securities, LLC**  
**Schedule III – Information Relating to Possession or Control**  
**Requirements Pursuant to Rule 15c3-3**  
**As of December 31, 2014**

Information relating to possession or control requirements is not applicable to CCG Securities, LLC as the Company qualifies for exemption under Rule 15c3-3 (k)(2)(i).

**Elizabeth Tractenberg, CPA**

3832 SHANNON ROAD  
LOS ANGELES, CALIFORNIA 90027  
323/669-0545 – Fax 323/517-2625  
elizabeth@tractenberg.net  
PCAOB # 3621


**Report of Independent Registered Public Accounting Firm**

To the Managing Member  
of CCG Securities, LLC

I have reviewed management's statements, included in the accompanying CCG Securities, LLC (the "Company") Exemption Report in which (1) the Company identified the following provisions of 17C.F.R. §15c3-3(k) under which the Company claimed an exemption from 17 C.F.R. §240.15c3-3: ((k) (2) (i)) (the "exemption provisions") from June 1, 2014 to December 31, 2014, and (2) the Company stated that they met the identified exemption provisions from June 1, 2014 to December 31, 2014 (the Company's fiscal year end) without exception. The Company's management is responsible for compliance with the exemption provisions and its statements.

My review was conducted in accordance with the standards of the Public Company Accounting Oversight Board (United States) and, accordingly, included inquiries and other required procedures to obtain evidence about the Company's compliance with the exemption provisions. A review is substantially less in scope than an examination, the objective of which is the expression of an opinion on management's statements. Accordingly, I do not express such an opinion.

Based on my review, I am not aware of any material modifications that should be made to management's statements referred to above for them to be fairly stated, in all material respects, based on the provisions set forth in paragraph (k) (2) (i) of Rule 15c3-3 under the Securities Exchange Act of 1934 for the periods noted in paragraph 1 above.



Elizabeth Tractenberg, CPA  
Los Angeles, CA  
January 10, 2015



**CCG Securities, LLC**

Member FINRA/SIPC

January 10, 2015

Elizabeth Tractenberg, CPA  
3832 Shannon Road  
Los Angeles, CA 90027

Re: SEA Rule 17a-5(d) (4) Exemption Report

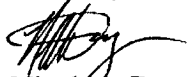
Dear Ms. Tractenberg:

Pursuant to the referenced rule, the following information is provided.

Under its membership agreement with FINRA and pursuant to Rule 15c3-3 (k) (2) (i) the Company conducts business on a fully disclosed basis and does not execute or clear securities transactions for customers.

CCG Securities LLC met the Section 204, 15c3-3 (k) (2) (i) exemption for the period June 1, 2014 to December 31, 2014.

Sincerely,



Nicolette Denney  
Financial Operations Principal